



2020 Project Directors' Meeting Day 2 Afternoon

New Grantees and New Project Directors





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Agenda and Objectives

- **Getting Started:** Critical Grant Administration Documents; Fiscal and Administrative Responsibilities; Required Reporting; and Communication Strategies
- **Grant Oversight:** Using And Updating Your Logic Model; And Understanding The Basic Of Grant Monitoring



But first...

What are your questions?

What do you need to know to be
successful in your grant?

What do you know you don't
know?



Also...

This is so much to know about proper grants management. This presentation is designed to hit the highlights. Please reach out to your Program Officer or the NCSRC if you have specific questions.

And now.... On with the Show.



We were all new kids once.





What you need to know: Getting Started



Critical Grant
Administration
Documents



Fiscal and
Administrative
Responsibilities



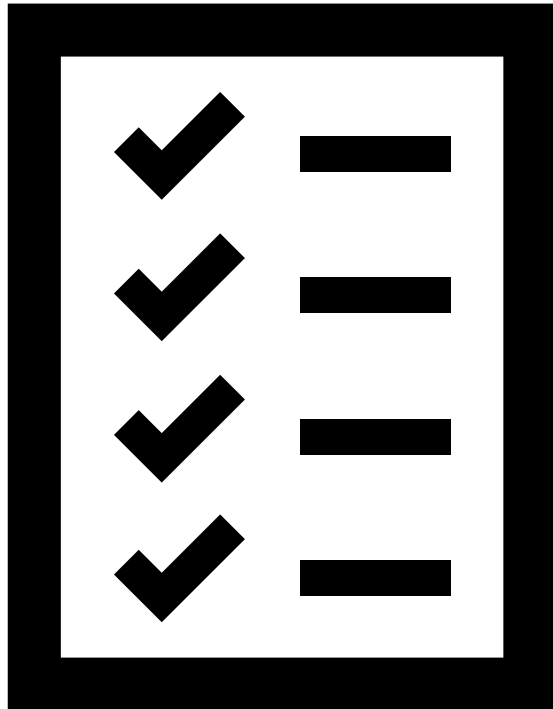
Required Reporting



Communication
Strategies



Critical Grant Administration Documents



- Approved Application (including any approved modifications or clarifications)
- Grant Award Notification (GAN) & Special Conditions
- Notice Inviting Application (for applicable fiscal year)
- EDGAR Title 34 CFR
- Uniform Guidance 2 CFR Part 200



Approved Grant Application + Amendments

- Provides a detailed project plan/road map to follow
- Is aligned with program objectives
- States the approved activities, which are allowable; and consistent with the program objectives
- Establishes the scope of project
- Establishes the objectives of the project



GAN and Specific Conditions

- The GAN may contain specific conditions related to your organization's past performance.
- The Department adds specific conditions to address risk identified by pre-award risk reviews of grant applicants, required by the Uniform Guidance.
- CSP adds conditions based on annual performance reports and monitoring findings when necessary.



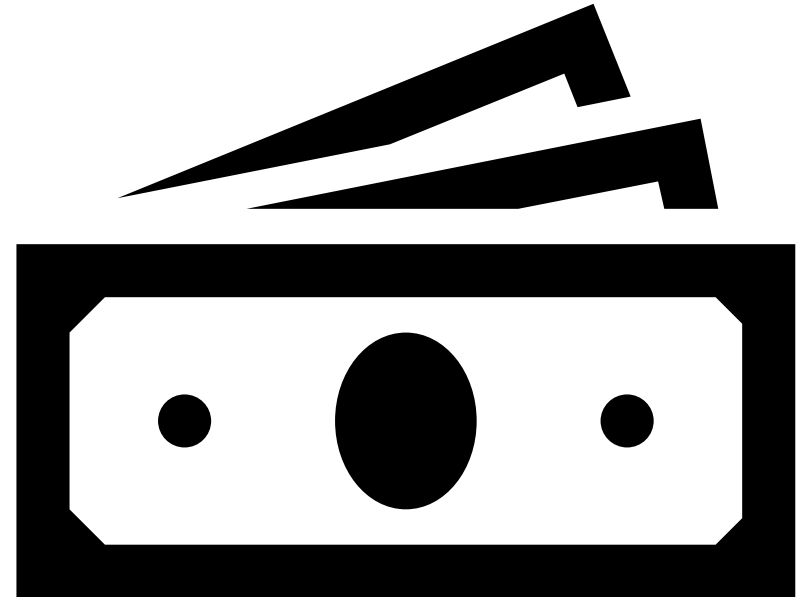
Route Payment

- "Routed for approval" means that any request for funds will require approval by the program office before the payment is processed.
- Grantees are placed on route payment for numerous reasons, including not having a finalized approved budget.
 - Grantees are informed of other specific conditions on their grant at post-award calls.
- Removal of route payment requires the Department to clear any conditions/concerns they had that placed them on route payment to begin with.



Fiscal and Administrative Responsibilities

- Adhere to your State or organization accounting and financial management procedures
- Meet procurement standards
- Meet cash management standards
- Enable accurate financial and performance reporting in line with General Accepted Accounting Principles (GAAP)





Use of Funds

Always consult your approved grant application and your program officer if you have specific questions about use of funds.



Use of Funds (continued)

- a) Preparing teachers, school leaders, and specialized instructional support personnel, including through paying costs associated with—
 - (i) Providing professional development; and
 - (ii) Hiring and compensating, during the applicant's planning period specified in the application for funds, one or more of the following:
 - (A) Teachers,
 - (B) School leaders, and
 - (C) Specialized instructional support personnel.



Use of Funds (continued)

- b) Acquiring supplies, training, equipment (including technology), and educational materials (including developing and acquiring instructional materials).
- c) Carrying out necessary renovations to ensure that a new school building complies with applicable statutes and regulations, and minor facilities repairs (excluding construction).
- d) Providing one-time, startup costs associated with providing transportation to students to and from the charter school.
- e) Carrying out community engagement activities, which may include paying the cost of student and staff recruitment.
- f) Providing for other appropriate, non-sustained costs related to the *replication or expansion of high-quality charter schools* when such costs cannot be met from other sources.



Grant-Specific Uses

CMO Grantees

- Grantees must use grant funds to replicate or substantially expand the charter school model or models for which the applicant has presented evidence of success. Grant funds must be used to carry out allowable activities, as described in section 5204(f)(3) of the ESEA ([20 U.S.C. 7221c\(f\)\(3\)](#)).

CMO Grantees

- A grantee may use up to 20 percent of grant funds for initial operational costs associated with the expansion or improvement of the grantee's oversight or management of its charter schools, provided that (i) the specific charter schools being replicated or expanded under the grant are the intended beneficiaries of such expansion or improvement; (ii) such expansion or improvement is intended to improve the grantee's ability to manage or oversee the charter schools *replicated* or *expanded* under the grant; and (iii) the costs cannot be met from other sources.



Grant-Specific Uses (continued)

State Entity Grantees

- Under 4303(c)(1) State entities may not exceed 10% for administrative and technical assistance activities. No more than 3% may be spent on administrative costs and at least 7% **must** be spent on technical assistance activities
- State entities may provide technical assistance activities that:
 - 1) support eligible applicants and/or authorized public chartering agencies in carrying out the activities associated with opening and preparing for the operation of new and replicating high-quality charter schools or expanding high-quality charter schools.; and
 - 2) support work with authorized public chartering agencies in the State to improve authorizing quality, including developing capacity for, and conducting fiscal oversight and auditing of charter schools.



General Funding Restrictions

- Charter schools that receive CSP funds directly from the Department for the same or substantially similar purposes are ineligible to receive funds from a State entity for the same purpose under section 4303 of the ESEA.
- These CSP programs include:
 - Charter Schools Program Grants for Replication and Expansion of High-Quality Charter Schools (84.282M)
 - Charter Schools Program Developer Grants for the Opening of New Charter Schools (84.282B)
 - Charter Schools Program Developer Grants for the Replication and Expansion of High-Quality Charter Schools (84.282E)



Funding Limits Per School

FY15: \$750,000
FY16: \$800,000
FY17: \$900,000
FY18: \$ 1,250,000
FY19: \$1,500,000
FY20: \$1,500,000



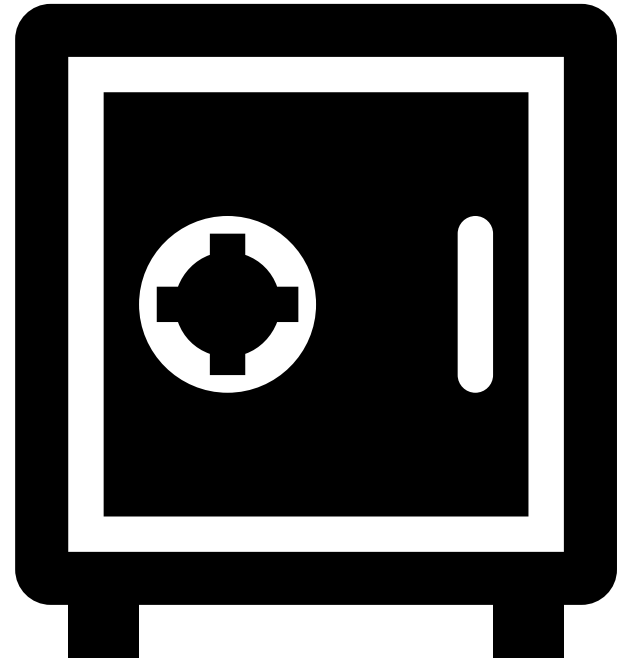
Internal Control Requirements

- Grantees must (Section 200.303):
 - Comply with laws, terms & conditions
 - Establish & maintain internal controls that provide reasonable assurance that they are managing the grant in compliance with laws, terms & conditions
 - Evaluate their compliance
 - Act on non-compliance e.g., audit findings
 - Safeguard PII and sensitive information



Communication Strategies

- Working with your Program Officer
- Document critical conversations in writing
- Maintain correspondence with Program Officer
- Ensure access to old files, emails





Working with your Program Officer

When to reach out

- Change of scope or key staff
- Transfer of funds (>10%)
- Budget revisions
- Changes to cost sharing (if applicable)
- Subawarding/transferring of the “work of the grant”





Keep on site and accessible

- Project revision(s) documentation
- Current budget & personnel list
- ED 524s
- Policies & Protocols
- Documentary evidence to support actual grant project expenditures and activities.
- Approved application & grant awards
- Contracts & subgrant award agreements
- Audit & site visit reports (subgrantee monitoring)
- Corrective action plans (post monitoring follow-up/conditions)
- Annual performance reports



Performance Reporting

- Submit annual & final performance reports
 - Valid & reliable data
 - Report on GPRA standards & indicators
- APRs are typically due in April
- Reports must be submitted by the Project Director in G5
- 4303(i) requires a report in year 3 of a 5 year grant and year 2 of a grant less than five years (high-stakes report).
- FPRs are due 90 days after your performance period ends and must include the same report information required by statute under 4303(i).





Are you demonstrating substantial progress toward grant objectives?





Sub-Award Data Collection

- WestEd semi-annually collects information on awarded subgrants
 - school names and locations, NCES ID, LEA, CMO, EMO or authorizer (if applicable), performance period dates, amounts awarded.
- Allows for tracking of CSP fund use and analysis with other data systems and required reporting.



Questions and Discussion





What you need to know: Grant oversight



Using your logic model



Updating your logic model



Understanding monitoring



Does your logic model accurately reflect your grant project?





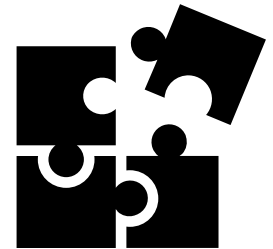
Using your Logic Model

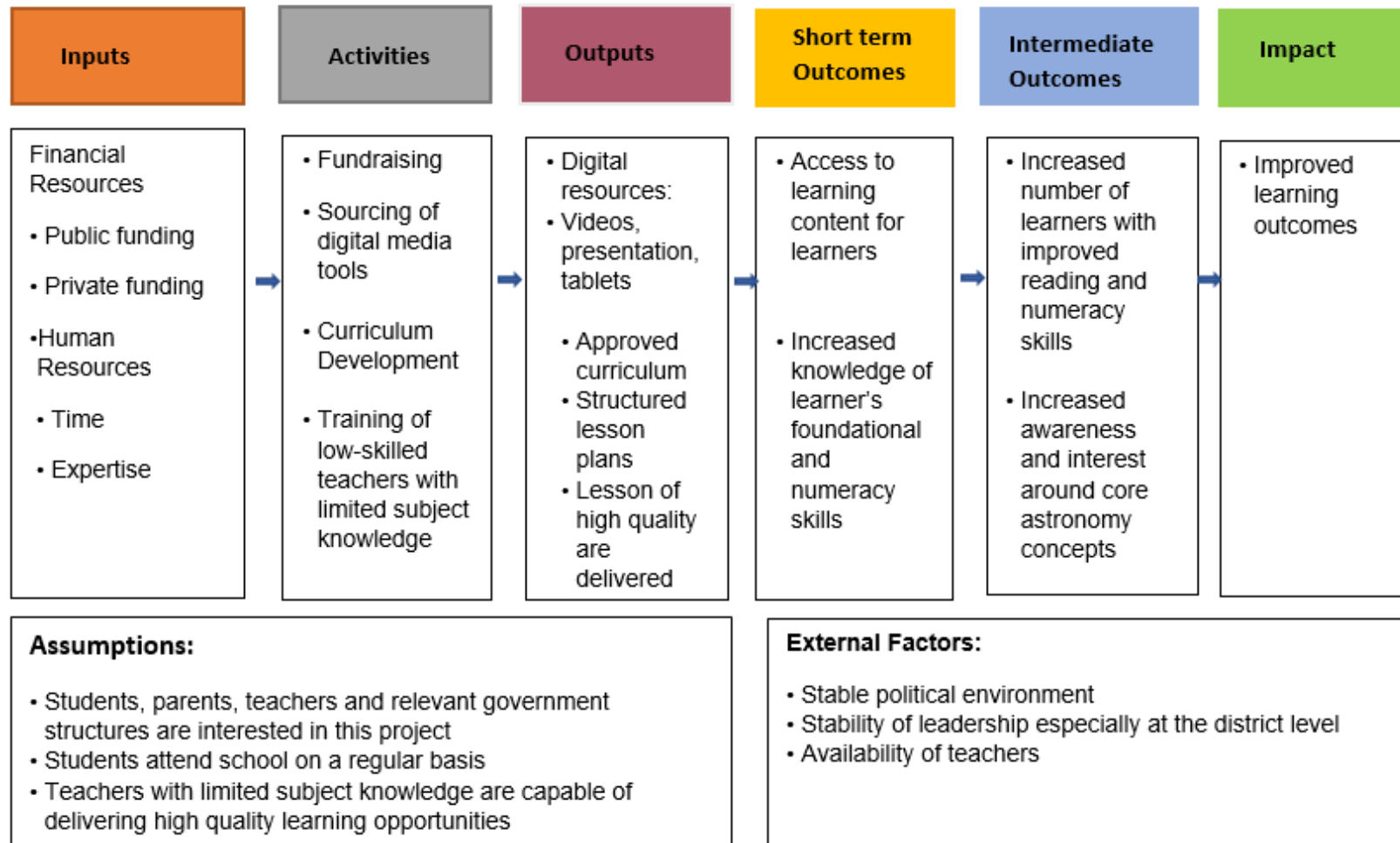
What is a Logic Model?

- “A logic model is a systematic and visual way to present and share your understanding of the **relationships** among the **resources** you have to operate your program, the **activities** you plan, and the changes or **results** you hope to achieve.” (W.K. Kellogg Foundation 2004)
- And also... the context in and assumptions with which you operate.

What makes a good Logic Model?

- **Clarity** – Are the connections among elements clear and logical? Is level of detail appropriate?
- **Accuracy** – Does the model reflect the project? Is content complete?
- **Utility** – Is it useful?







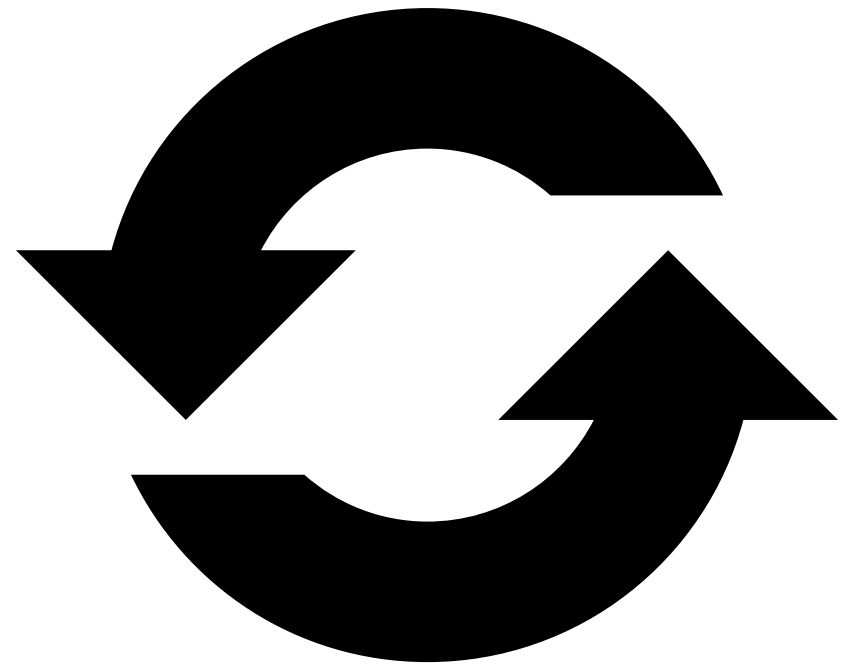
Updating Logic Models

Know where you start

- Determine if logic model accurately reflects grant project

Know what you can adjust (and what you can't)

- Revisions to clarify and strengthen are preferred
- Major changes should be done in conjunction with Program officer





Understanding Monitoring



Definition and
Eligibility



Purposes



Approach



Grantee
expectations



Setting up for
success



Monitoring Definition

Monitoring is...

- a **continuous function** that uses the **systemic collection of data** on specified indicators to inform on an ongoing project with indications on the **extent of progress** and **achievement of objectives** and progress in the **use of allocated funds**

-- (OECD, 2002)

Monitoring is NOT...

- *An evaluation*
- *An audit*
- *A gotcha!*
- *A witch-hunt*

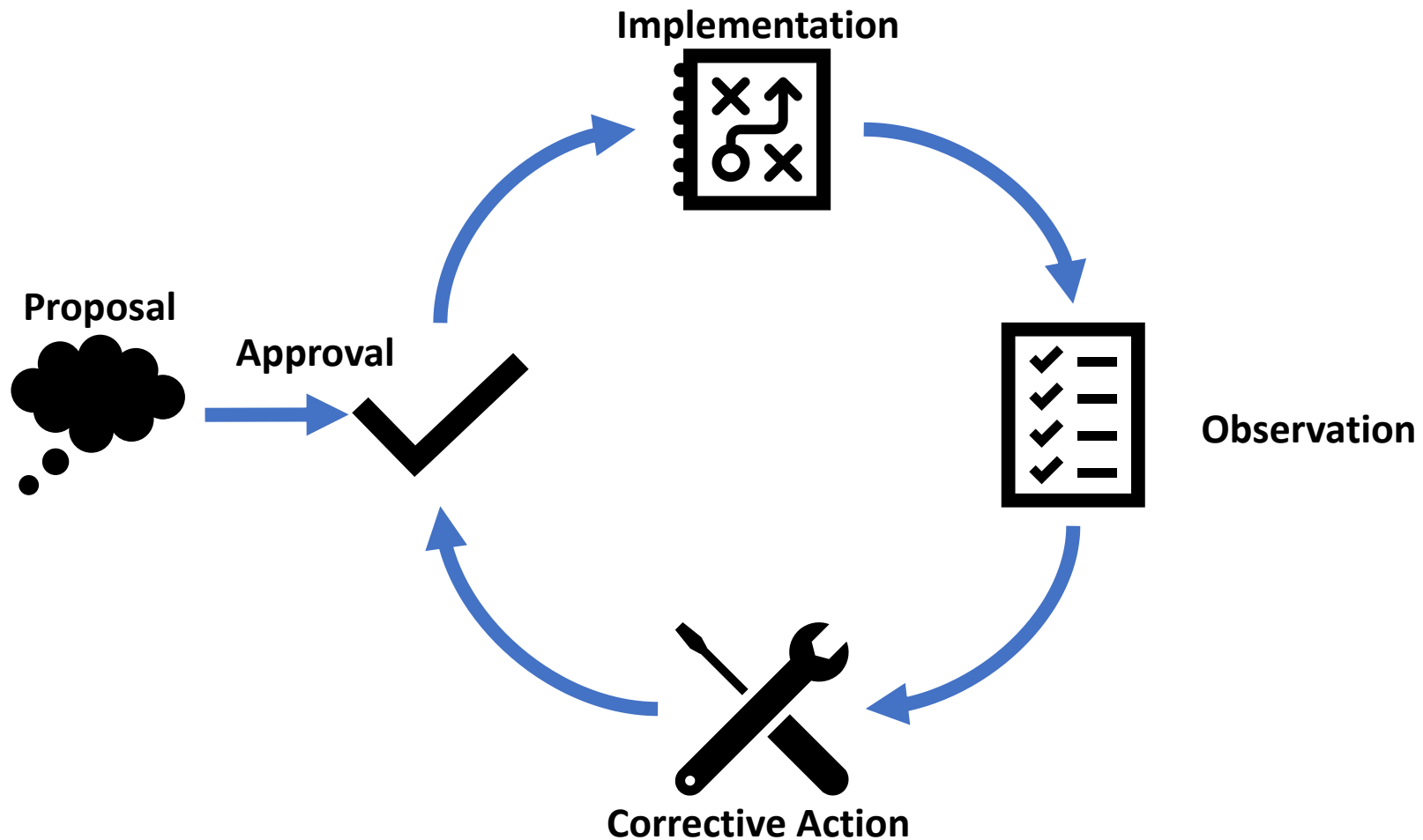


Monitoring Eligibility

- All grantees are eligible for monitoring. HOORAY!
- Monitoring will typically occur at least once per grant cycle.
 - Under certain circumstances, grantees may be monitored more than once during a grant period.
- Monitoring activities includes site visits, remote visits, and desk monitoring
 - State Entity, CMO, and Credit Enhancement grantees are monitoring via site visits
 - Developer grantees are monitored via site visits and remote visits depending on risk review
 - National Dissemination grantees are monitored via desk monitoring from the Program Officer



Monitoring Approach





Grantee Expectations for Monitoring

Prior to the Monitoring Visit

- Review Monitoring Handbook and grant application.
- Submit relevant project documentation.
- Create site visit schedules for interviews including central office and school(s).

During the Monitoring Visit

- Project Directors must be present for all central office interviews.
- Central office staff do not attend school interviews.

After visit

- Provide updated documentation, as requested.
- Review and provide feedback on monitoring report.



Setting Yourself Up For Success

- **Review your approved grant application** – Indicators are based on the approved application.
- **Don't do it all yourself** – The grantee is the entire organization and not the individual Project Director.
- **Ask questions and avoid assumptions** – The monitoring content can be dense, but it is not meant to be a puzzle.
- **Be transparent** – If you've changed a project element since the grant was approved, document it with your program officer.



Questions and Discussion





Where can you find more help?

Phone a friend!

Call or email your Program Officer

Ask the audience!

Use the Exchange (for SEs)

Ask the host!

Email the Resource Center contact-us@charterschoolcenter.org